

Chapter 1

Preliminary: All securities



1.1 Introduction

Note: ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering ‘Alternative Performance Measures’. See ESMA guidelines: Alternative Performance Measures dated 5 October 2015 (ESMA/2015/1415).

Application

1.1.1

R

LR applies as follows:

- (1) all of LR (other than LR 8.3, LR 8.4, LR 8.6 and LR 8.7) applies to an issuer; and
- (2) LR 1, LR 8.1, LR 8.3, LR 8.4, LR 8.6 and LR 8.7 apply to a sponsor and a person applying for approval as a sponsor.

Other relevant parts of Handbook

Note: Other parts of the Handbook that may also be relevant to issuers or sponsors include DTR (the Disclosure Guidance and Transparency Rules sourcebook), PRR (the Prospectus Regulation Rules sourcebook), COBS (the Conduct of Business sourcebook), DEPP (Decision Procedure and Penalties Manual), Chapter 9 of SUP (the Supervision manual) and GEN (General Provisions).

The following Regulatory Guides may also be relevant to issuers or sponsors:

- 1. The Enforcement Guide (EG)
- 2. [intentionally blank]